Management Board statistics - commentary

January 2017 - Quarter 3

The third quarter of 2016/17 has been a productive one, but there has been no let-up in terms of casework intake. The number of cases closed so far this year is up by 6.4% for FOI and 14.7% for DP, but these increases in productivity have not been enough to match the increase in receipts. It remains a risk that we won't be able to deal with all of the complaints made to us this year, and our outstanding caseloads continue to rise.

DP complaints/concerns cases are up 18.5% when compared to intake at the same time last year and FOI cases are up 9%. Enforcement cases are up 25% against intakes from the same time last year. Advice and calls to our Helpline are in line with expectations, slightly down on volumes of last year, but the new Live Chat service continues to be popular with over 5,000 contacts being handled this quarter.

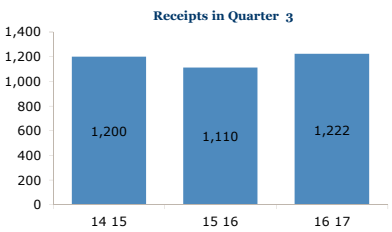
We continue to look for efficient ways to deal with all of our casework areas, and expect to see increases in output this quarter as recent recruits become more productive.

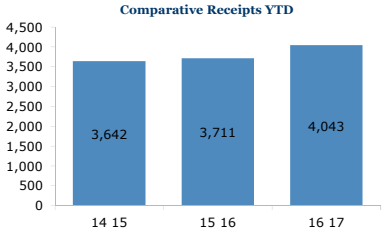
Simon Entwisle

FOI complaint casework
January 2017 - Quarter 3

Received

	2015/16	2016/17
Quarter 1	1,249	1,479
Quarter 2	1,352	1,342
Quarter 3	1,110	1,222
Quarter 4	1,470	
Total	5,181	4,043

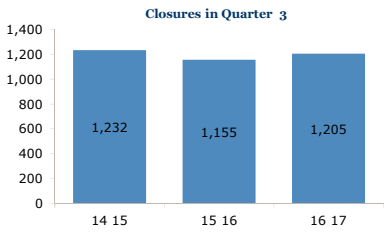


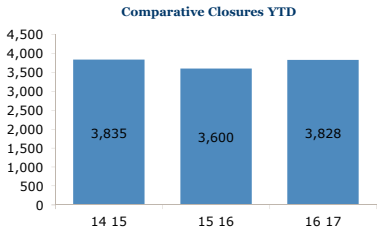


9.0%

Closed

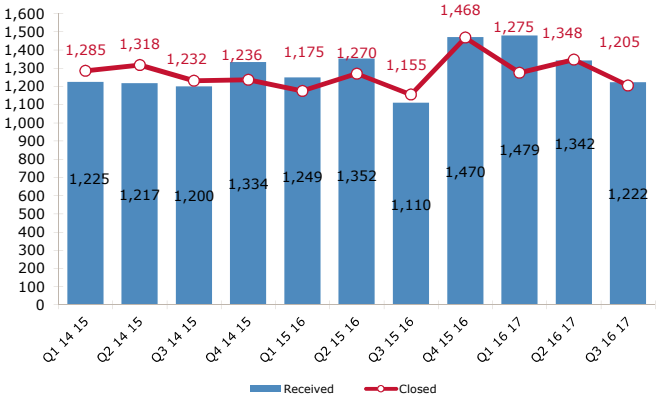
	2015/16	2016/17
Quarter 1	1,175	1,275
Quarter 2	1,270	1,348
Quarter 3	1,155	1,205
Quarter 4	1,468	
Total	5,068	3,828





6.4%

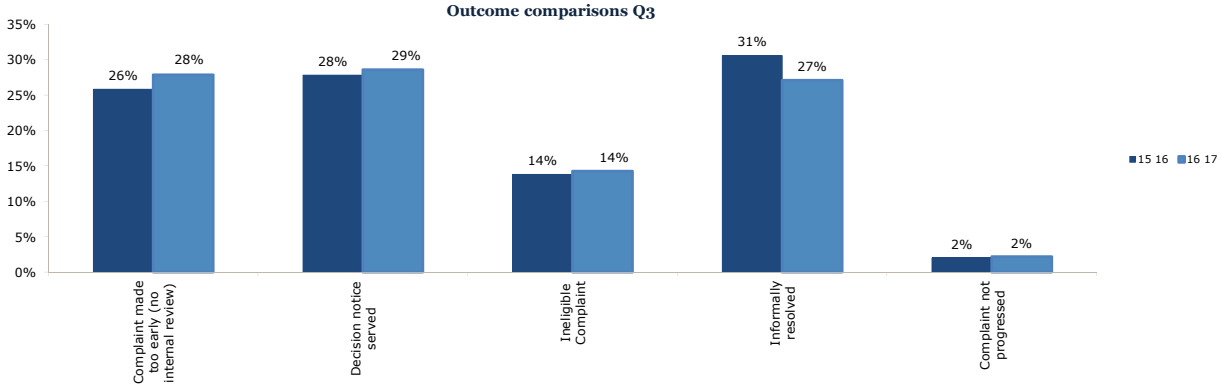
Receipt & Closures by Quarter



FOI and EIR Complaints - Age profiles of finished casework

Age profile	Q3	%
0 - 30 days	522	43%
31 - 90 days	265	22%
91 - 180 days	269	22%
181 - 270 days	111	9%
271 - 365 days	28	2%
365 days+	11	0.9%
Total	1,206	100%

Outcome comparisons Q3



Decision Notices Served

	2015/16	2016/17
Quarter 1	282	298
Quarter 2	333	313
Quarter 3	318	341
Quarter 4	443	
Total	1,376	952

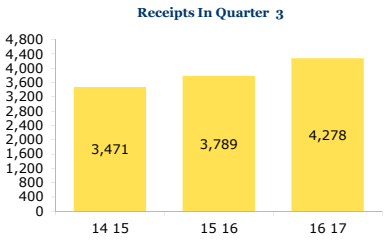
Decision Notices Served by outcome

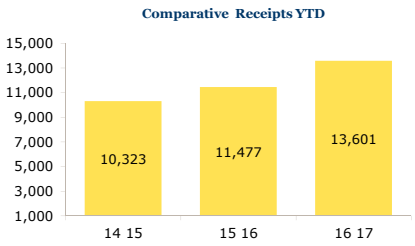
	2015/16				2016/17			
	Not upheld	Partially upheld	Upheld	Total	Not upheld	Partially upheld	Upheld	Total
Quarter 1	173	26	83	282	161	54	83	298
Quarter 2	206	45	82	333	217	35	61	313
Quarter 3	214	45	59	318	188	59	94	341
Quarter 4	260	77	106	443				
Total	853	193	330	1,376	566	148	238	952

DP concerns
January 2017 - Quarter 3

Received

	2015/16	2016/17
Quarter 1	3,689	4,614
Quarter 2	3,999	4,709
Quarter 3	3,789	4,278
Quarter 4	4,911	
Total	16,388	13,601

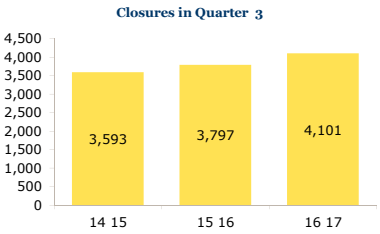


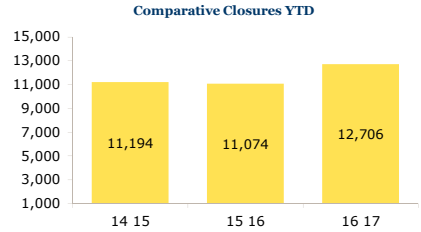


18.5%

Closed

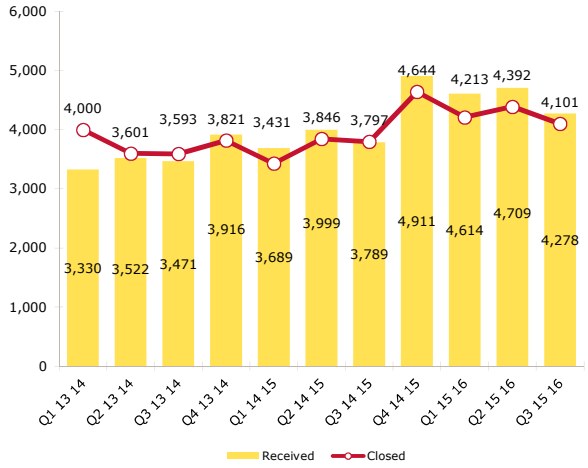
	2015/16	2016/17
Quarter 1	3,431	4,213
Quarter 2	3,846	4,392
Quarter 3	3,797	4,101
Quarter 4	4,644	
Total	15,718	12,706





14.7%

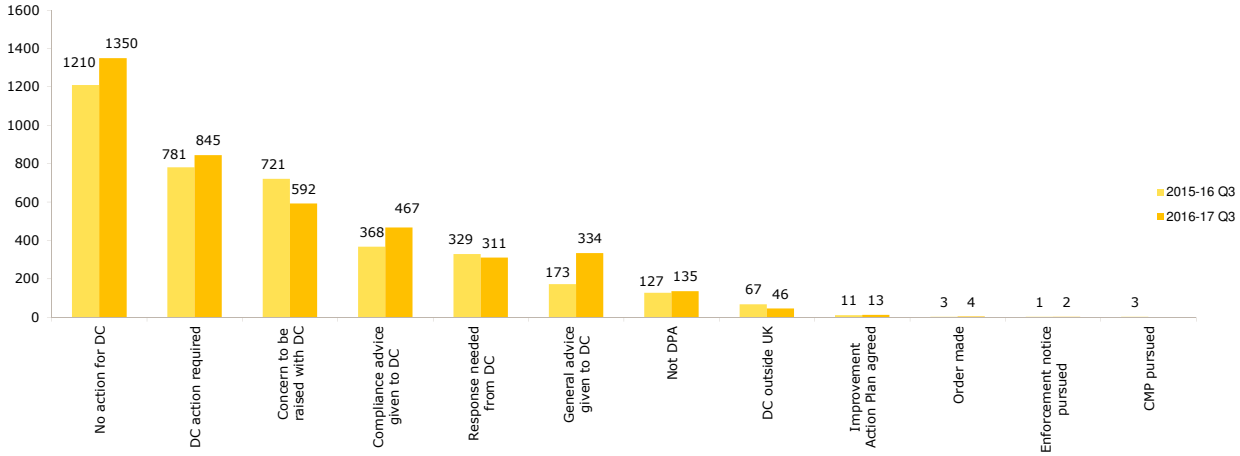
Receipts and Closures by Quarter



DP concerns - Age profiles of finished casework

Age profile	Q3	%
0 - 30 days	972	23.7%
31 - 90 days	2,752	67.1%
91 - 180 days	322	7.9%
181 - 270 days	46	1.1%
271 - 365 days	5	0.1%
365 days +	4	0.1%
Total	4,101	100%

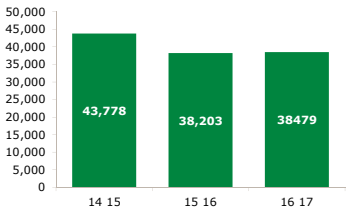
Outcomes comparisions concerns finished in Q3



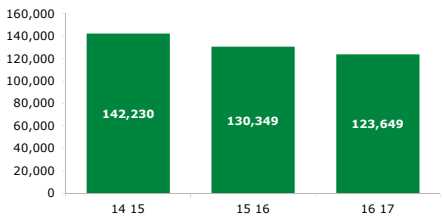
Concerns reported

	2015/16	2016/17
Quarter 1	46,676	47,414
Quarter 2	45,470	37,756
Quarter 3	38,203	38,479
Quarter 4	30,841	
Total	161,190	123,649

Concerns reported in Quarter 3



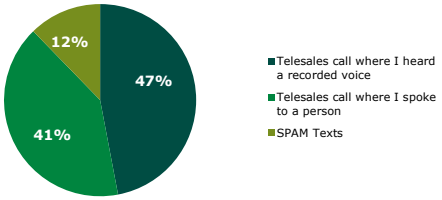
Comparative concerns reported YTD



Nature of telesales and SPAM texts reported

	2015/16			2016/17		
	Telesales call where I heard a recorded voice	Telesales call where I spoke to a person	SPAM Texts	Telesales call where I heard a recorded voice	Telesales call where I spoke to a person	SPAM Texts
Quarter 1	17,057	22,992	6,208	24,678	17,774	4,508
Quarter 2	20,885	19,958	4,234	14,981	16,856	5,447
Quarter 3	20,129	13,862	3,874	18,046	15,326	5,107
Quarter 4	13,354	13,440	3,553			
Total	71,425	70,252	17,869	57,705	49,956	15,062

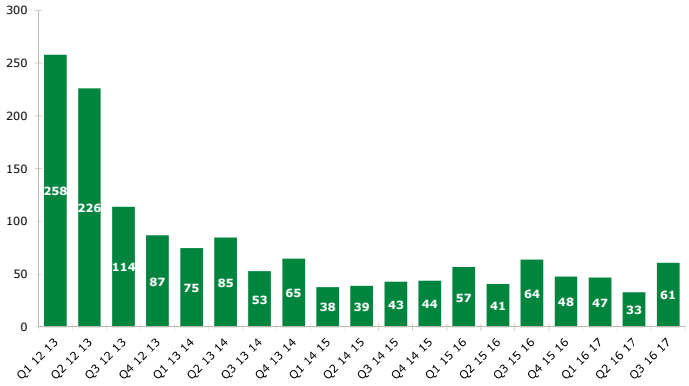
Nature of telesales and SPAM texts reported 2016-17 YTD



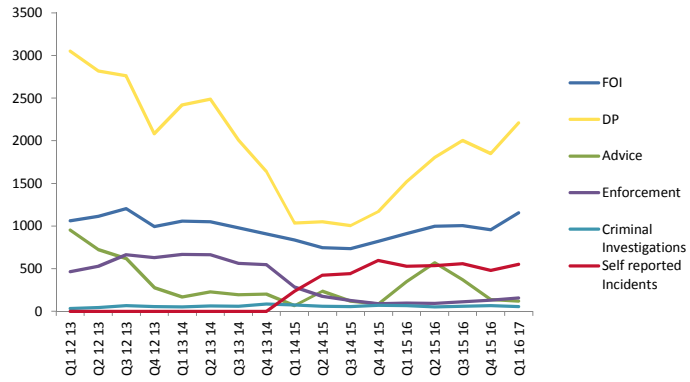
Cookie concerns reported

	2015/16	2016/17
Quarter 1	57	47
Quarter 2	41	33
Quarter 3	64	61
Quarter 4	48	
Total	210	141

Cookie concerns reported



Caseload trend



Case types can change as work is progressed, which means work can move between caseloads.
*Some self reported incidents were recorded as Enforcement cases prior to April 2014.

FOI and EIR Complaints - age profiles

Age profile	Caseload Q3	%
0 - 30 days	267	23%
31 - 90 days	420	36%
91 - 180 days	352	30%
181 - 270 days	81	7%
271 - 365 days	48	4%
Over 1 Year	4	0.3%
Total	1,172	100%

DP Concerns - age profiles

Age profile	Caseload Q3	%
0 - 30 days	992	36%
31 - 90 days	1,467	54%
91 - 180 days	219	8%
181 - 270 days	28	1%
271 - 365 days	14	0.5%
Over 1 Year	12	0.4%
Total	2,732	100%

Written advice - age profile

Age profile	Caseload Q3	%
0 - 30 days	200	92%
31 - 90 days	15	7%
91 - 180 days	2	1%
Total	217	100%

Self reported Incidents - age profile

Age profile	Caseload Q3	%
0 - 30 days	202	32%
31 - 90 days	232	37%
91 - 180 days	113	18%
181 - 270 days	38	6%
271 - 365 days	17	3%
Over 1 Year	29	5%
Total	631	100%

Enforcement - age profile

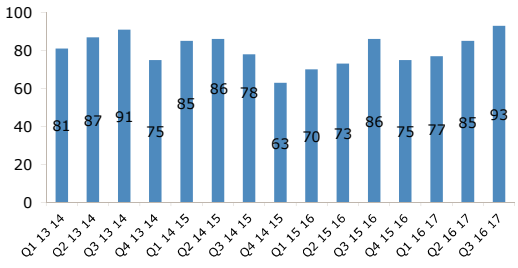
Age profile	Caseload Q3	%
0 - 30 days	20	11%
31 - 90 days	38	21%
91 - 180 days	49	26%
181 - 270 days	33	18%
271 - 365 days	22	12%
1yr - 2yr	20	11%
Over 2 yr	3	2%
Total	185	100%

Criminal Investigations - age profile

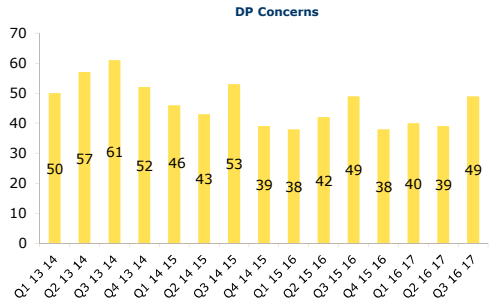
Age profile	Caseload Q3	%
0 - 30 days	10	21%
31 - 90 days	12	26%
91 - 180 days	8	17%
181 - 270 days	4	9%
271 - 365 days	4	9%
1yr - 2yr	6	13%
Over 2 yr	3	6%
Total	47	100%

Average age of caseload in days at end of each quarter

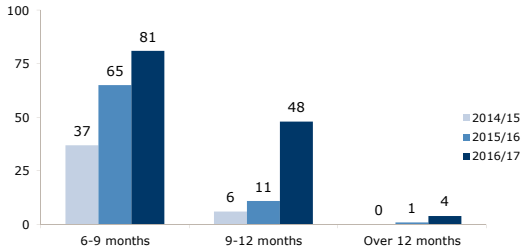
FOI and EIR Complaints



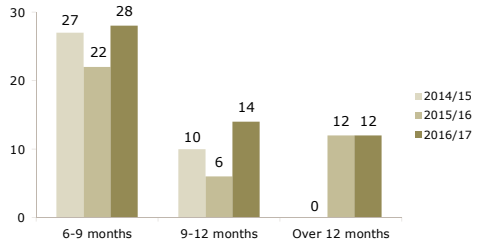
DP Concerns



FOI and EIR Complaints over 6 months old



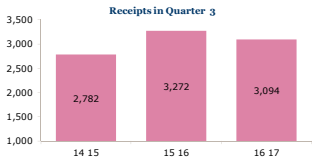
DP Concerns over 6 months old

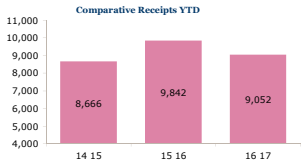


Written advice

Written advice casework received

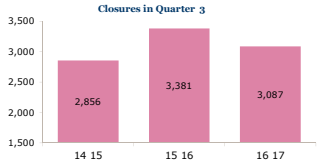
	2015/16	2016/17
Quarter 1	3,079	3,023
Quarter 2	3,491	2,935
Quarter 3	3,272	3,094
Quarter 4	2,686	
Total	12,528	9,052

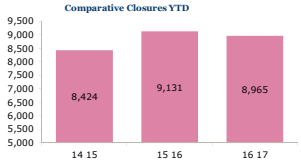




Written advice casework closed

	2015/16	2016/17
Quarter 1	2,723	3,055
Quarter 2	3,027	2,823
Quarter 3	3,381	3,087
Quarter 4	3,344	
Total	12,475	8,965





Helpline advice

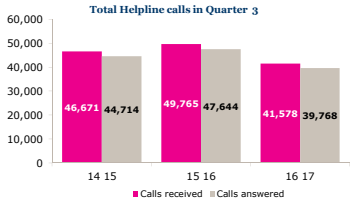
Helpline calls received

	2015/16	2016/17
Quarter 1	48810*	50,613
Quarter 2	54,440	46,545
Quarter 3	49,765	41,578
Quarter 4	51,685	
Total	204,700	138,736

Helpline calls answered

	2015/16	2016/17
Quarter 1	46507*	47,270
Quarter 2	51,346	44,471
Quarter 3	47,644	39,768
Quarter 4	49,231	
Total	194,728	131,509

*These figures are appoximately 4000 lower than would be expected due to the major IT hardware failure which interrupted the Helpline service for one week in May 2015.



% calls answered

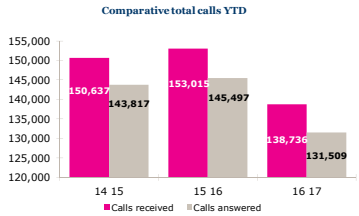
	2015/16	2016/17
Quarter 1	95%	93%
Quarter 2	94%	96%
Quarter 3	96%	96%
Quarter 4	95%	
Total	95%	95%

Average wait time

	2015/16	2016/17
Quarter 1	47	67
Quarter 2	62	46
Quarter 3	53	44
Quarter 4	55	
Average Wait YTD	54	52

Helpline calls YTD

	2015/16	2016/17
Received	204,700	138,736
Answered	194,728	131,509
% Answ'd	95%	95%



Live Chat

Chats requested

	2016/17
Quarter 1	986
Quarter 2	3,405
Quarter 3	5,435
Quarter 4	
Total	9,826

Chats answered

	2016/17
Quarter 1	970
Quarter 2	3,337
Quarter 3	5,280
Quarter 4	
Total	9,587

% chats answered

	2016/17
Quarter 1	98%
Quarter 2	98%
Quarter 3	97%
Quarter 4	

Average length of chat

	2016/17
Quarter 1	11m 29s
Quarter 2	11m 7s
Quarter 3	12m 1s
Quarter 4	

Average wait time

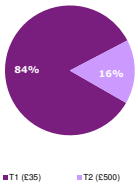
	2016/17
Quarter 1	4s
Quarter 2	4s
Quarter 3	4s
Quarter 4	

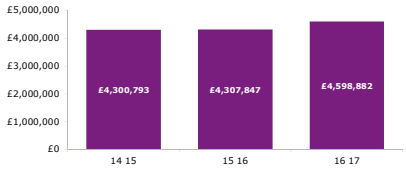
Registration fee income

Fee income received

	2015/16	2016/17
Quarter 1	£4,158,504	£4,558,941
Quarter 2	£4,631,593	£4,851,347
Quarter 3	£4,307,847	£4,598,882
Quarter 4	£5,217,381	
Total	£18,315,325	£14,009,170

Fee income received in Q3 by fee tier





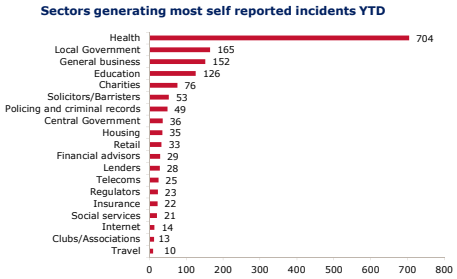
Self reported Incidents - Data Protection

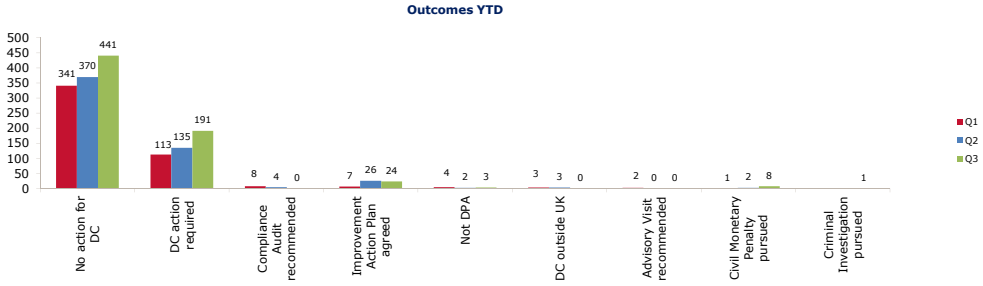
Received

	2015/16	2016/17
Quarter 1	445	560
Quarter 2	519	667
Quarter 3	521	627
Quarter 4	465	
Total	1,950	1,854

Closed

	2015/16	2016/17
Quarter 1	503	480
Quarter 2	490	543
Quarter 3	515	669
Quarter 4	543	
Total	2,051	1,692

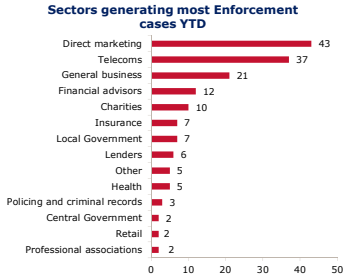


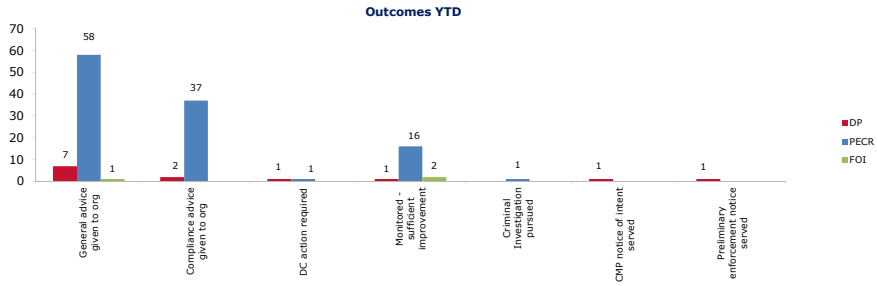

Outcomes YTD
No action for DC 341 370 441
DC action required 113 135 191
Compliance Audit recommended 8 4 0
Improvement Action Plan agreed 7 26 24
Not DPA 4 2 3
DC outside UK 3 3 0
Advisory Visit recommended 2 0 0
Civil Monetary Penalty pursued 1 2 8
Criminal Investigation pursued 1
Q1
Q2
Q3

Enforcement and Criminal Investigations

Enforcement

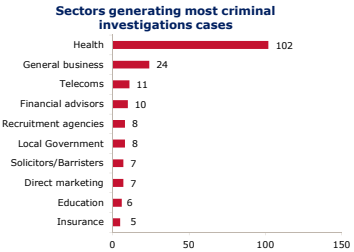
		Received			Finished		
		Data Protection	PECR	FOI and EIR	Data Protection	PECR	FOI and EIR
2015/16	Quarter 1	5	37	0	23	9	1
	Quarter 2	8	31	0	13	28	3
	Quarter 3	5	64	0	17	34	0
	Quarter 4	13	70	0	6	56	0
Total		31	202	0	59	127	4
2016/17	Quarter 1	12	64	2	12	43	2
	Quarter 2	9	70	2	9	54	1
	Quarter 3	17	49	0	9	40	1
	Quarter 4						
Total		38	183	4	30	137	4

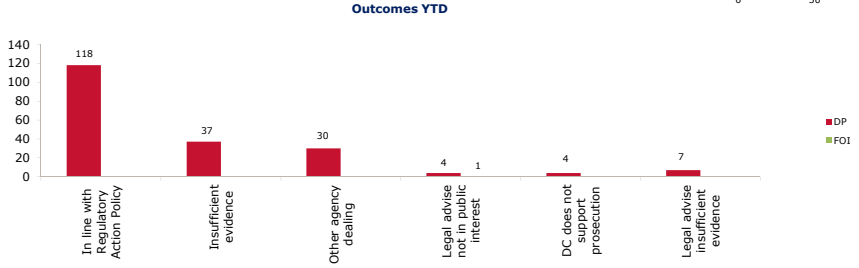



Outcomes YTD
General advice given to org 7 58 1
Compliance advice given to org 2 37
DC action required 1 1
Monitored - satisfied improvement 1 16 2
Criminal Investigation pursued 1
CMP notice of intent served 1
Preliminary enforcement notice served 1
DP
PECR
FOI

Criminal Investigations

		Received		Finished	
		Data Protection	FOI and EIR	Data Protection	FOI and EIR
2015/16	Quarter 1	55	0	57	1
	Quarter 2	58	0	73	0
	Quarter 3	55	0	46	1
	Quarter 4	69	1	61	0
Total		237	1	237	2
2016/17	Quarter 1	50	0	61	1
	Quarter 2	94	0	85	0
	Quarter 3	57	1	74	0
	Quarter 4				
Total		201	1	220	1




Outcomes YTD
In line with Regulatory Action Policy 118
Insufficient evidence 37
Other agency dealing 30
Legal advise not in public interest 4 1
DC does not support prosecution 4
Legal advise insufficient evidence 7
DP
FOI

Notices, Cautions and Prosecutions

2016-17	Quarter 1			Quarter 2		Quarter 3		Quarter 4		Total
	Data Protection	PECR	FOI	Data Protection	PECR	Data Protection	PECR	Data Protection	PECR	
Undertaking served	2			2		3				7
Enforcement notice served	1	1	1	1	2	2	3			11
Prosecuted	6			3		7				16
Caution served	1			2		1				4
CMP served	4	5		4	4	3	5			25
5a PECR Penalties		5			1		1			7

The number of notices or undertakings actually served may differ to the number of cases closed as some cases can have more than one notice type served on them or a number of cases with one Data Controller will result in a single notice or undertaking being served.